

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Tariq M. Rana

Serial No.: 10/672069

Filed: September 25, 2003

For: *In Vivo Gene Silencing by Chemically Modified and Stable siRNA*

Attorney Docket No.: UMY-062

Group Art Unit: 1635

Examiner: Not Yet  
Assigned

Mail Stop 16  
Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

Certificate of Express Mailing (37 CFR 1.53(b))

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Aribill No. EL 981582440 US, in an envelope addressed to: Mail Stop 16, Commissioner for Patents, Box 1450, Alexandria VA 22313-1450.

Date: June 22, 2004

Signature:

(Debra J. Milasincic)

REQUEST FOR REFUND OF EXCESS FEES

Dear Sir:

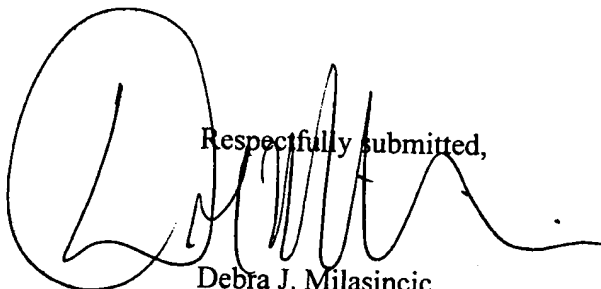
Applicants request a refund of excess fees paid in the amount of \$1,879.00. In a Response to a Notice to File Missing Parts filed May 19, 2004, Applicants mistakenly indicated and paid filing fees for the above-referenced application as a large entity when it is in fact entitled to small entity status. As a result, fees in the amount of \$3,758.00 were charged to our Deposit Order Account No. 12-0080 on May 24, 2004. Applicants mistake was unintentional and request that the excess fees paid of \$1,879.00 be credited to our Deposit Account No. 12-0080. For this purpose, we enclose a duplicate copy of this letter.

2004 JUN 25 09 11:19

Please find an itemized list of charges as follows:

Code	Amount Charged	Code	Correct Amount	Refund
1202	1188	2202	594	594
1201	430	2201	215	215
1001	770	2001	385	385
1253	950	2253	475	475
1616	290	2616	145	145
1051	130	2051	65	65
<b>total</b>	<b>3758</b>	<b>total</b>	<b>1879</b>	<b>1879</b>

Respectfully submitted,



Debra J. Milasincic  
Reg. No. 46,931  
LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, MA 02109  
(617) 227-7400

Dated: June 22, 2004

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Tariq M. Rana

Serial No.: 10/672069

Filed: September 25, 2003

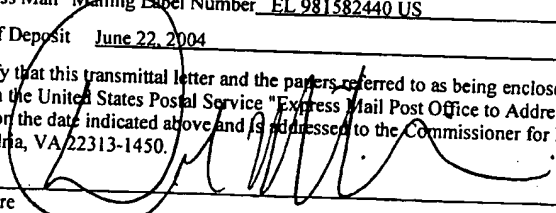
For: *In Vivo Gene Silencing by Chemically Modified  
and Stable siRNA*

Attorney Docket No.: UMY-062

Group Art Unit: 1635

Examiner: Not Yet Assigned

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

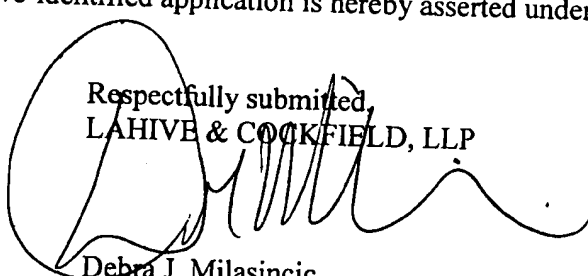
"Express Mail" Mailing Label Number	EL 981582440 US
Date of Deposit	June 22, 2004
I hereby certify that this transmittal letter and the papers referred to as being enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.	
Signature	
Debra J. Milasincic, Esq.	
Please Print Name of Person Signing	

WRITTEN ASSERTION OF ENTITLEMENT TO SMALL ENTITY STATUS

Dear Sir:

Small entity status for the above-identified application is hereby asserted under 37 C.F.R. 1.27(c)(1).

Respectfully submitted,  
LAHIVE & COCKFIELD, LLP

  
Debra J. Milasincic  
Reg. No. 46,931  
28 State Street  
Boston, MA 02109-1784  
(617)227-7400

Date: June 22, 2004

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PTO/SB/21 (02-04)

Approved for use through 07/31/2006. U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
OMB 0651-0031

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## TRANSMITTAL FORM

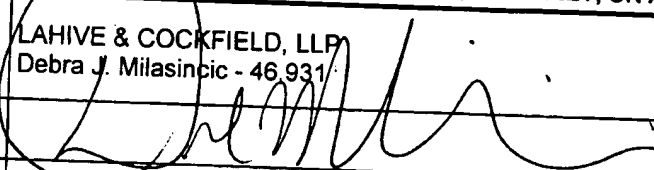
(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	10/672069-Conf. #4721	
	Filing Date	September 25, 2003	
	First Named Inventor	Tariq M. RANA	
	Art Unit	1635	
	Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission	1	Attorney Docket Number	UMY-062

### ENCLOSURES (Check all that apply)

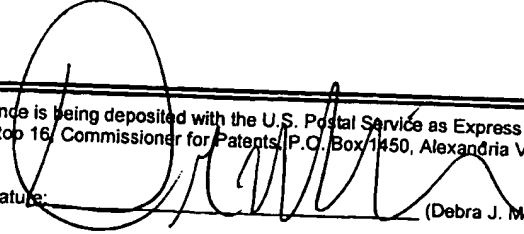
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input checked="" type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Assertion of Small Entity Status (1 page)
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	LAHIVE & COCKFIELD, LLP Debra J. Milasincic - 46 931
Signature	
Date	June 22, 2004

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EL 981582440 US, in an envelope addressed to: Mail Stop 16, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450 on the date shown below.

Dated: June 22, 2004

Signature:  (Debra J. Milasincic)

5-21-04

Page 1 of 3



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/672,069	09/25/2003	Tariq M. Rana	UMY-062

00959  
LAHIVE & COCKFIELD, LLP.  
28 STATE STREET  
BOSTON, MA 02109



CONFIRMATION NO. 4721

## FORMALITIES LETTER



\*OC000000011540638\*

Date Mailed: 12/19/2003

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

05/24/2004 MBLAND 00000009 120080 10672069 FILED UNDER 37 CFR 1.53(b)

01 FC:1001 770.00 DA  
02 FC:1201 430.00 DA  
03 FC:1202 1188.00 DA  
04 FC:1203 290.00 DA  
05 FC:1051 130.00 DA

Filing Date Granted

## Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 770 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings must be reasonably free from erasures and must be free from alterations, overwriting, interlineations, folds, and copy marks. See Figure(s) 13A-D.
  - The drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper, which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e)). See Figure(s) 1c,4.

- This application clearly fails to comply with the requirements of 37 CFR. 1.821-1.825. Applicant's attention

Adjustment date: 07/29/2004 ~EEKUBAY1  
05/24/2004 MBLAND 00000009 120080 10672069  
01 FC:1001 770.00 CR  
02 FC:1201 430.00 CR  
03 FC:1202 1188.00 CR  
04 FC:1203 290.00 CR  
05 FC:1051 130.00 CR

07/29/2004 EEKUBAY1 00000004 120080 10672069

01 FC:2001 385.00 DA  
02 FC:2201 215.00 DA  
03 FC:2202 594.00 DA  
04 FC:2203 145.00 DA  
05 FC:2051 65.00 DA

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## PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)

Docket No. (Optional)

UMY-062



In re Application of Tariq M. RANA

Application Number

10/672069-Conf. #4721

Filed

September 25, 2003

For: IN VIVO GENE SILENCING BY CHEMICALLY MODIFIED AND STABLE siRNA

Art Unit

N/A

Examiner

Not Yet Assigned

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above identified application.

The requested extension and appropriate non-small-entity fee are as follows (check time period desired):

- |  |           |
|--|-----------|
| <input type="checkbox"/> One month (37 CFR 1.17(a)(1))               | \$ _____  |
| <input type="checkbox"/> Two months (37 CFR 1.17(a)(2))              | \$ _____  |
| <input checked="" type="checkbox"/> Three months (37 CFR 1.17(a)(3)) | \$ 950.00 |
| <input type="checkbox"/> Four months (37 CFR 1.17(a)(4))             | \$ _____  |
| <input type="checkbox"/> Five months (37 CFR 1.17(a)(5))             | \$ _____  |

☐ Applicant claims small entity status. See 37 CFR 1.27. Therefore, the fee amount shown above is reduced by one-half, and the resulting fee is: \$ \_\_\_\_\_

☐ A check in the amount of the fee is enclosed.

☐ Payment by credit card. Form PTO-2038 is attached.

☒ The Director has already been authorized to charge fees in this application to a Deposit Account.

☒ The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number 12-0080

I have enclosed a duplicate copy of this sheet.

I am the ☐ applicant/inventor.

☐ assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

☐ attorney or agent of record. Registration Number \_\_\_\_\_

☒ attorney or agent under 37 CFR 1.34(a).

Registration number if acting under 37 CFR 1.34(a) \_\_\_\_\_

May 19, 2004

Date

(617) 227-7400

Telephone Number

Signature

Debra J. Milasincic

Typed or printed name

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below

☐ Total of 1 forms are submitted.

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EL 981582334 US, in an envelope addressed to: MS Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: May 19, 2004

Signature: \_\_\_\_\_

(Debra J. Milasincic)

15/24/2004 HBLRNC 00000009 120080 10672069

16 FC:1253 950.00 DA

Adjustment date: 07/29/2004 EEKURAY1  
05/23/2004 HBLRNC 00000009 120080 10672069

06 FC:1253 950.00 CR

07/29/2004 EEKURAY1 00000004 120080 10672069

06 FC:2253 475.00 DA